

# NOAA PROTOCOLS FOR GAO ENGAGEMENTS



The NOAA Audit Staff is the focal point for Government Accountability Office (GAO) and Office of Inspector General (OIG) activities and serves as the central NOAA source of information and guidance. Housed in the Audit and Information Management Office, Office of the Chief Administrative Officer, the NOAA Audit Staff provides direction and guidance to NOAA offices on the development of responses to OIG and GAO reports. Also, this staff assists in negotiating and resolving disputed findings and recommendations, ensuring responses reflect NOAA's perspective. The following outlined protocols are provided to assist in the execution of GAO reviews concerning NOAA.

## **Notification Letters for New Engagements**

Address any GAO notification letters for new engagements to the Department of Commerce's (DOC) Chief Financial Officer and Assistant Secretary for Administration and email the letter to the following:

- MaryAnn Mausser, DOC GAO Liaison, [mmausser@doc.gov](mailto:mmausser@doc.gov) and [GAOLiaison@doc.gov](mailto:GAOLiaison@doc.gov)
- Mack Cato, NOAA, Director of Audit and Information Management Office, [Mack.A.Cato@noaa.gov](mailto:Mack.A.Cato@noaa.gov)
- NOAA Audit Staff at [NOAA.Audits@noaa.gov](mailto:NOAA.Audits@noaa.gov)

## **Entrance and Exit Conferences**

Address GAO requests for entrance and exit conferences to NOAA Audit Staff at [NOAA.Audits@noaa.gov](mailto:NOAA.Audits@noaa.gov). The audit staff will schedule meetings, ensuring attendance by appropriate NOAA line and/or staff office representatives. Please submit meeting requests to NOAA at least 7 business days prior to the date the GAO team would like to have the entrance and exit conferences to ensure availability of NOAA senior officials.

## **Requests for Documents and Follow-Up Meetings**

Once NOAA Audit Staff establishes NOAA points of contacts for GAO, cc: our group email account at [NOAA.Audits@noaa.gov](mailto:NOAA.Audits@noaa.gov) on additional GAO requests for documentation or follow-up meetings. This assists NOAA in providing a responsive and coordinated effort.

## **Statement of Facts**

Email the Statement of Facts to NOAA Audit Staff at [NOAA.Audits@noaa.gov](mailto:NOAA.Audits@noaa.gov). The audit staff will distribute this document to appropriate NOAA line and/or staff offices for comments, and provide a consolidated response to GAO. Please provide the Statement of Facts at least 7-10 business days prior to the exit conference so that a sufficient written response is developed by NOAA officials prior to the meeting.

## **Preparing the Transmittal Letter**

In accordance with DOC's Department Administrative Order 213-1, address report transmittal letters to the Secretary of Commerce. At the end of the transmittal letter, please cc: the following officials:

- MaryAnn Mausser, DOC, GAO Audit Liaison
- Mack Cato, NOAA, Director, Audit and Information Management Office

## **Forwarding the Transmittal Letter and Report**

Please **concurrently** email the transmittal letter and draft or final audit report to DOC **and NOAA**.

- MaryAnn Mausser at [mmausser@doc.gov](mailto:mmausser@doc.gov) and [GAOLiaison@doc.gov](mailto:GAOLiaison@doc.gov)
- NOAA Audit Staff at [NOAA.Audits@noaa.gov](mailto:NOAA.Audits@noaa.gov)

The NOAA Audit Staff will distribute copies of the draft and final reports to the appropriate NOAA line and/or staff offices for their comments. Then the consolidated written response undergoes clearances at NOAA and/or DOC before transmission to GAO.

## **Points of Contacts**

If the GAO team has any questions directed to NOAA, please contact one of the following members from the NOAA Audit Staff:

- Rhonda Lawrence, NOAA Audit Program Manager, 301-628-0948
- Brian Doss, NOAA GAO/OIG Audit Liaison, 301-628-0945

- Lisa Lim, NOAA GAO/OIG Audit Liaison, 301-628-XXXX

The Director, Audit and Information Management Office, Office of the Chief Administrative Officer, NOAA, Mack Cato, [Mack.A.Cato@noaa.gov](mailto:Mack.A.Cato@noaa.gov), can be reached at 301-628-0949.

The DOC GAO Liaison, MaryAnn Mausser, [mmausser@doc.gov](mailto:mmausser@doc.gov), can be contacted at 202-482-8120.